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APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
09/872,687	05/31/2001	Hernan G. Otero	21710-68172	3804

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BUCKLEY, MASCHOFF, TALWALKAR LLC
5 ELM STREET
NEW CANAAN, CT 06840

EXAMINER

WASYLCHAK, STEVEN R

ART UNIT	PAPER NUMBER
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3624

DATE MAILED: 10/18/2004

Please find below and/or attached an Office communication concerning this application or proceeding.

Office Action Summary

Application No.

09/872,687

Applicant(s)

OTERO ET AL. *ST*

Examiner

Steven R. Wasylchak

Art Unit

3624

-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --

Period for Reply

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If the period for reply specified above is less than thirty (30) days, a reply within the statutory minimum of thirty (30) days will be considered timely.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133). Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

Status

- 1) ☒ Responsive to communication(s) filed on 31 May 2001.
- 2a) ☐ This action is **FINAL**. 2b) ☒ This action is non-final.
- 3) ☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

Disposition of Claims

- 4) ☒ Claim(s) 1-15 is/are pending in the application.
- 4a) Of the above claim(s) _____ is/are withdrawn from consideration.
- 5) ☐ Claim(s) _____ is/are allowed.
- 6) ☒ Claim(s) 1-15 is/are rejected.
- 7) ☐ Claim(s) _____ is/are objected to.
- 8) ☐ Claim(s) _____ are subject to restriction and/or election requirement.

Application Papers

- 9) ☐ The specification is objected to by the Examiner.
- 10) ☐ The drawing(s) filed on _____ is/are: a) ☐ accepted or b) ☐ objected to by the Examiner.
Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).
Replacement drawing sheet(s) including the correction is required if the drawing(s) is objected to. See 37 CFR 1.121(d).
- 11) ☐ The oath or declaration is objected to by the Examiner. Note the attached Office Action or form PTO-152.

Priority under 35 U.S.C. § 119

- 12) ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).
- a) ☐ All b) ☐ Some * c) ☐ None of:
1. ☐ Certified copies of the priority documents have been received.
 2. ☐ Certified copies of the priority documents have been received in Application No. _____.
 3. ☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).

* See the attached detailed Office action for a list of the certified copies not received.

Attachment(s)

- | | |
|--|---|
| 1) <input checked="" type="checkbox"/> Notice of References Cited (PTO-892) | 4) <input type="checkbox"/> Interview Summary (PTO-413)
Paper No(s)/Mail Date. _____ |
| 2) <input type="checkbox"/> Notice of Draftsperson's Patent Drawing Review (PTO-948) | 5) <input type="checkbox"/> Notice of Informal Patent Application (PTO-152) |
| 3) <input type="checkbox"/> Information Disclosure Statement(s) (PTO-1449 or PTO/SB/08)
Paper No(s)/Mail Date _____ | 6) <input type="checkbox"/> Other: _____ |

DETAILED ACTION

Claim Objections

1. Claims 10, there are two, must be corrected.

Claim Rejections - 35 USC § 102

2. The following is a quotation of the appropriate paragraphs of 35 U.S.C. 102 that form the basis for the rejections under this section made in this Office action:

A person shall be entitled to a patent unless –

(b) the invention was patented or described in a printed publication in this or a foreign country or in public use or on sale in this country, more than one year prior to the date of application for patent in the United States.

3. Claims 1-15 are rejected under 35 U.S.C. 102(b) as being disclosed by Kane (US 6,317,728).

Claims:

1. An apparatus for a computerized trading system comprising:
 - a logic engine comprising a first plug-in for implementing a trading strategy;/col 1, L 20-29; abstract; col 2, L50-63
 - an interface comprised of a first sub-interface, whereby said first sub-interface configures said first plug-in used in said logic engine for processing trading orders./col 3,L 20-50; col 3, L 20-58
2. The apparatus of claim 1 wherein said first plug-in is comprised of an algorithm, and whereby said first sub-interface configures said algorithm./ abstract; col 3, L3-9, 20-58; col 12, L 14-17; col 18, L 11-15; fig 20 (program is algorithm);

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3. The apparatus of claim 1 wherein said first plug-in is comprised of an algorithm, wherein said algorithm is further comprised of an algorithm context, and said first sub-interface configures said algorithm context./ col 13, L 17-25; col 1, L 50-63

4. The apparatus of claim 1 wherein said first plug-in is comprised of an algorithm, wherein said algorithm is further comprised of an event-action pair that is processed by said logic engine, and said first sub-interface permits the selection and configuration of said algorithm./col 1, L 51-63; col 13, L18-43

5. The apparatus of claim 1 wherein said interface comprises a graphical user interface./fig 4

6. The apparatus of claim 1 wherein said first sub-interface comprises a graphical user interface./fig 4

7. The apparatus of claim 6 wherein said graphical user interface comprises an Order Tracker./ fig 4

8. The apparatus of claim 6 wherein said graphical user interface comprises an Algorithm Configuration./ fig 4

9. The apparatus of claim 6 wherein said graphical user interface comprises an Server Monitor./ fig 4

10. The apparatus of claim 1 wherein said interface further comprises a second sub-interface./fig 4

10. The apparatus of claim 10 wherein said interface further comprises a third sub-interface./ fig 4

11. A method for computerized trading comprising:

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- providing a logic engine with a first plug-in for implementing a trading strategy,
- configuring said plug in using an interface comprised of a first sub-interface, and
- processing a trade using said logic engine with said first plug-in./refer all to claim 1

12. A method as in claim 11 wherein said first plug-in is composed of an algorithm, and whereby said configuration step further comprises configuring said algorithm using an algorithm configuration interface./refer to claim 2

13. An interface used in a computerized trading system comprising at least one sub interface for configuring a plug in used in said computerized trading system./abstract; fig 4; claim 4 above

14. An interface as in claim 13 wherein said plug in comprises an algorithm plug in./refer to claim 4

15. An interface as in claim 14 wherein said interface comprises a graphical user interface./ refer to claim 5

This action is **NON-FINAL**. Any inquiry concerning this communication or earlier communications from the examiner should be directed to Steven R. Wasylchak whose telephone number is (703) 308-2848. The examiner can normally be reached on Monday-Thursday from 7:00 a.m. to 6:00 p.m. EST.

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Vincent Millin, can be reached at (703) 308-1065. The fax number for Art Unit 3624 is (703) 872-9306.

Steven Wasylchak

9/26/04

VINCENT MILLIN
SUPERVISORY PATENT EXAMINER
TECHNOLOGY CENTER 3600